

Financial Planner Evaluation Form

Use this form to evaluate a financial planner with whom you are considering establishing an account. Feel free to give the planner a copy of this form or ask the questions over the phone. If you are looking for comprehensive service, the results of this evaluation might reveal that. Also, once you complete this form you will have a better idea of the cost of the service and any biases the planner may have.

1. Does your service include advice and recommendations on:

- Cash management and budgeting
- Tax planning
- Investment planning
- Retirement planning
- Estate planning
- Insurance and risk management (including all types of insurance)
- Other _____
- Other _____

2. How are you compensated?

- Fee only
- Commission and sales charges only
- Fees and commissions

3. If you charge a fee, how is that based?

- An hourly rate of \$ _____
- A percentage of assets under management at _____%
- A flat fee based on _____

4. Do you provide written plans, analysis, recommendations, etc.?

- () Yes () No

5. Is your firm registered with the SEC?

- () Yes () No

6. Are you affiliated with a broker/dealer and if yes, who?

- () Yes () No

Broker/Dealer _____ Phone _____

7. If you charge both fees and commission, approximately what portion on your revenue is derived from these areas?

____% Fees charged to clients

____% Commissions from sale of investment products

____% Other (explain) _____

8. If you derive revenue from commissions, approximately what percentage of commission income comes from these areas?

____% Insurance products

Material provided by Michael P. Griffin.